

**UNITED STATES
PATENT AND TRADEMARK OFFICE**



Patent Public Advisory Committee Quarterly Meeting

Patent Quality

Valencia Martin-Wallace

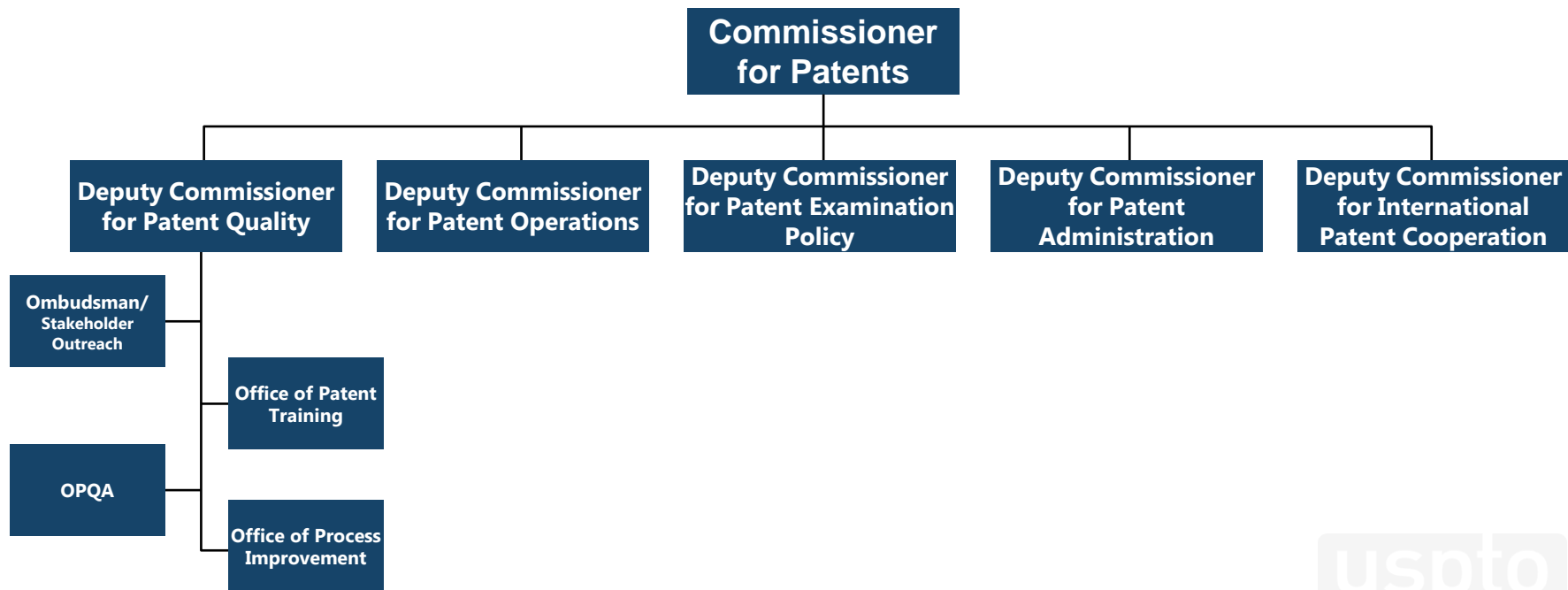
Deputy Commissioner for Patent Quality

May 14, 2015

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Patents Organization



The background of the slide is a light gray technical drawing of a mechanical assembly, featuring various components, lines, and numerical callouts such as 18, 80, 86, 84, 68, 34, 32, and 52. The drawing is rendered in a perspective view, showing the internal and external structures of the assembly.

United States Patent and Trademark Office **Office of Quality Management**

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Office of Quality Management

Mission: To optimize the quality of Patent products, processes and services to build a culture of process improvement and overall quality for the Patents organization.

Functions:

- Provide support and services to improve quality throughout Patents organization
- Train continuous improvement at all levels
- Prioritize improvement initiatives in alignment with the organization's strategic goals
- Monitor improved processes and facilitate the replication of best practices
- Identify and facilitate cross-organizational improvement initiatives
- Identify trends (positive and negative) to improve or replicate processes
- Coordinate strategic steering committee to identify and prioritize opportunities for improvement

Office of Process Improvement

Mission: To improve the quality of Patents processes through facilitation of process identification, prioritization, analysis, measurement, monitoring, and socialization of best practices.

Functions:

- Provide the Patents-wide framework that enables processes for performance improvement.
- Coordinate and to create alignment between agency and Patents improvement measurement systems.
- Examine the identified organizational systems, programs, and proposes performance improvement alternatives to provide efficacy and effectiveness valuation of programs and/or organizations.
- Maintain continuous improvement expertise to ensure support and facilitate customer (internal) performance excellence initiatives and provide accountability to full and complete analysis and reporting.
- Increase transparency, availability and usefulness of performance improvement information that are common throughout Patent Quality Management organization.
- Monitor progress of performance/process improvement efforts and provide subject matter expertise when needed/requested.
- Coordinate organizational committees to identify and prioritize opportunities for improvement.
- Facilitate and support Patents teams during external audits i.e. IG and GAO.



Office of Patent Training

Mission: To sustain a quality examination process and product by providing administration and guidance of comprehensive training programs using innovative and progressive techniques.

Functions:

- Provide expertise and guidance in training development and delivery.
- Educate and train examiners in practice and procedures.
- Provide management and leadership training for Patents managers.
- Provide legal training for examiners and managers.
- Provide technical training to patent employees and managers.
- Provide Technical Support Staff training on technical as well administrative job functions.
- Responsible for maintaining materials, scheduling and delivery of CBTs, lectures and hands-on training.
- Manage and facilitate specialty training in technical, legal and administrative professional training.

Office of Patent Quality Assurance

Mission: To provide quality control and identify improvement opportunities as well as provide assistance in monitoring and reporting.

Functions:

- Provide timely, reliable, and meaningful indicators of patent examination quality and technical support quality.
- Identify and analyze trends in patent examination quality.
- Identify opportunities for improvement.
- Assist in improving quality in training within Patent Operations.
- Provide subject matter experts to support quality and pilot programs.
- Evaluate impacts of quality initiatives and pilot programs to patent examination quality.
- Measure the effectiveness of training and quality improvement initiatives.
- Administer internal and external surveys.
- Design, develop, and administer *ad-hoc* studies of patent examination quality.
- Prepare/conduct briefings and reports on USPTO's quality measurement system to external stakeholders, government entities and foreign IP offices.
- Maintain repository of historic and current quality metric reports.
- Maintain database of case reviews.

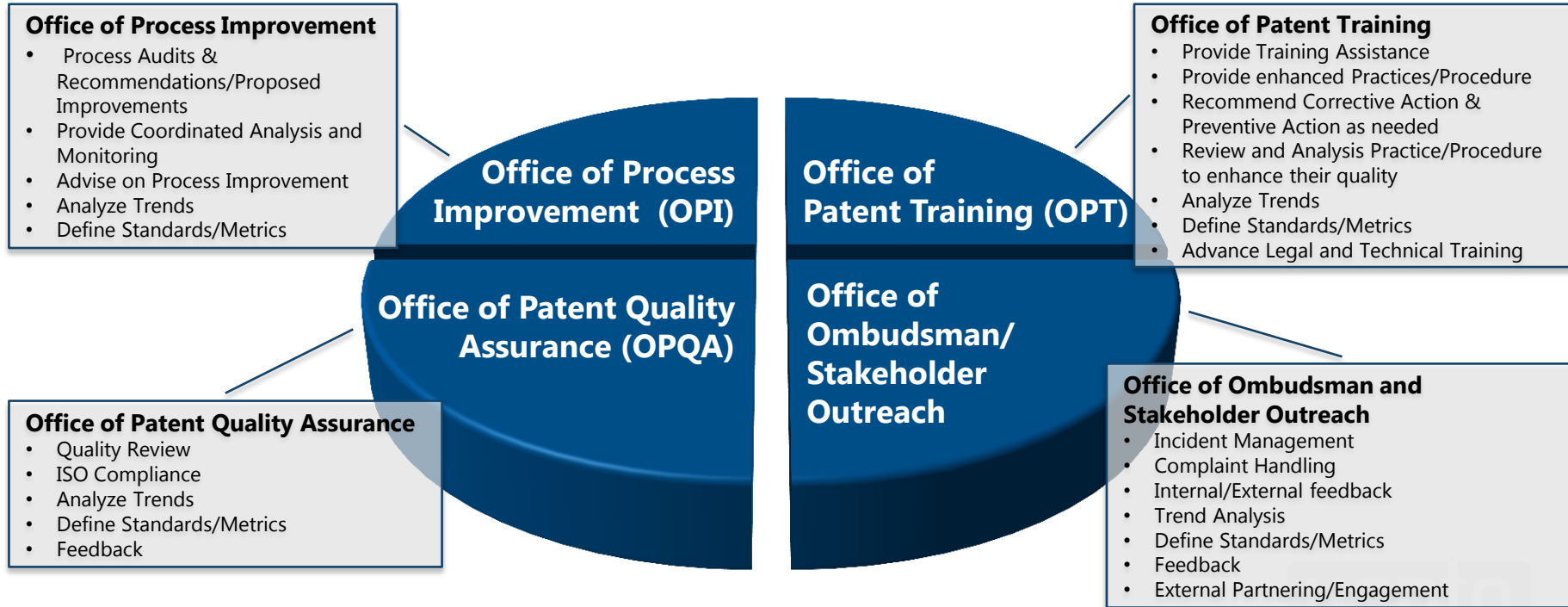
Office of Ombudsman and Stakeholder Outreach

Mission: To facilitate complaint-handling for pro se applicants and applicant's representatives whose applications have stalled in the examination process in order to provide a quality customer experience.

Functions:

- Resolve issues to enable applications to effectively move through the patent examination process.
- Identify areas of best practices and areas of improvements.
- Educate the public on resources available to them.
- Track inquiries to ensure timely resolution.
- Provide feedback to patents management on trends.

Office of Quality Management



A detailed technical drawing of a mechanical assembly, likely a piston and crank mechanism, rendered in a light gray line-art style. The drawing includes various numbered callouts (e.g., 18, 80, 40, 36, 22, 68, 34, 32, 52, 84, 86, 82) pointing to different components. The background is a dark blue gradient with a wavy, torn-paper-like edge at the top and bottom.

Quality Initiatives

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Internal Steps to Improve Patent Quality

Current Internal Initiatives

- Quality Assurance Specialist Details
- GS-14 Trainer Program Expansion
- Search Analysis Program
- Peer Interaction Meetings
- Review Quality Assurance Specialist Assistance in Technology Center
- Interview Specialists/Facilitators
- Conduct Quality Awareness Campaign and Training
 - 35 USC § 112(f)
 - 35 USC § 101

External Steps to Improve Patent Quality

Current External Initiatives

- Quality Webinar Series
- Ombudsman Hours by Time Zone
- Patent Quality Roadshows (Fall 2015)
- Federal Register Public Comments Analysis
- Patent Quality Summit Comments Analysis

Patent Quality Summit

Emerging Themes

- Providing a clear record throughout prosecution
- Differentiating between the measures of the patent process and the patent product
- The usefulness (necessity) of face-to-face interviews

Patent Quality Summit

- Federal Register Notice Comment Period
 - Deadline extended to May 20, 2015
- Comments and suggestions will be consolidated into database for consideration while planning future actions with regard to quality initiative
- Complete summit video available for viewing online
- Visit USPTO's Enhanced Patent Quality Initiative at

<http://www.uspto.gov/patent/initiatives/enhanced-patent-quality-initiative>



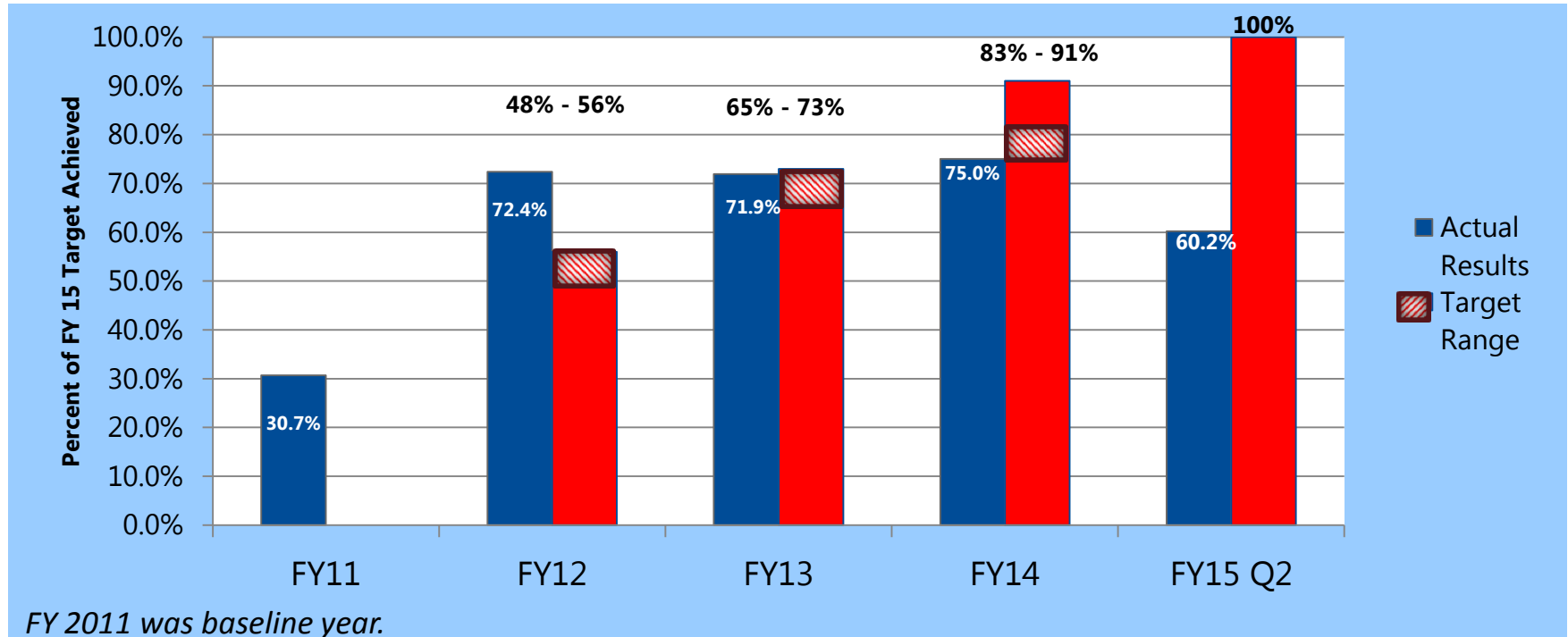
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Quality Metrics

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Quality Composite FY 2011 – FY 2015 Q2



Quality Composite

Reporting Period	USPTO Patent Quality Composite Metrics							
	Final Disposition Compliance Rate	In-Process Compliance Rate	FAOM Search Review	Complete FAOM Review	Quality Index Reporting	External Quality Survey	Internal Quality Survey	Quality Composite Score
	Baseline (FY09) = 94.4% Stretch Goal (FY15) = 97.0%	Baseline (FY09) = 93.6% Stretch Goal (FY15) = 97.0%	Baseline (FY11) = 94.6% Stretch Goal (FY15) = 97.0%	Baseline (FY11) = 90.9% Stretch Goal (FY15) = 95.0%	Baseline (FY09) = 85.9% Stretch Goal (FY15) = 94.0%	Baseline (FY09) = 1.2 Stretch Goal (FY15) = 5.0	Baseline (FY11) = 4.3 Stretch Goal (FY15) = 6.0	Stretch Goal (FY15) = 100%
FY15Q2	96.3%	95.3%	96.3%	90.5%	91.1%	5.6	5.0	60.2%
FY15Q1	97.0%	95.6%	97.4%	90.8%	91.3%	6.4	6.1	76.9%
FY14Q4	96.9%	95.5%	97.2%	90.6%	91.2%	6.4	6.1	75.0%
FY14Q3	96.6%	95.5%	97.4%	90.5%	91.3%	--	--	72.7%
FY14Q2	96.6%	95.9%	97.4%	91.1%	91.3%	5.7	6.5	75.9%
FY14Q1	96.2%	96.1%	97.9%	91.6%	91.1%	--	--	74.4%
FY13Q4	96.2%	96.3%	97.6%	90.5%	90.8%	5.8	7.4	71.9%
FY13Q3	96.2%	96.2%	97.4%	90.6%	90.2%	--	--	64.9%
FY13Q2	96.5%	95.6%	97.1%	90.5%	89.9%	6.4	5.1	63.6%
FY13Q1	96.6%	95.9%	96.8%	90.6%	89.8%	--	--	72.0%
EOY12	96.6%	95.9%	97.2%	90.9%	89.8%	5.2	9.4	72.4%
FY12Q3	96.6%	96.1%	96.6%	90.8%	90.1%	--	--	66.1%
FY12Q2	96.3%	96.0%	97.0%	91.3%	89.6%	5.0	5.1	65.5%
FY12Q1	95.4%	95.2%	95.7%	90.8%	89.5%	--	--	35.2%
EOY11	95.4%	95.2%	94.6%	90.9%	89.5%	3.0	4.3	0.0%
EOY10	96.3%	94.9%	N/A	N/A	89.3%	3.6	N/A	N/A
EOY09 (Baseline)	94.4%	93.6%			85.9%	1.2		
Composite Weight	20%	15%	10%	10%	20%	15%	10%	

Composite components are based on 12-month rolling averages collected on a quarterly basis, with the exception of the two survey items which are collected on a semi-annual basis and represent a snapshot of that particular period only.

Questions and Comments

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